


06-18-01

11

06/15/01  
J1049 U.S. PTO

Please type a plus sign (+) inside this box 

PTO/SB/18 (08-00)

Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b>  <i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i>	Attorney Docket No.	297.006
	First Named Inventor	Robert D. Kern et al
	Title	<b>SYSTEM CONTROLLER AND METHOD FOR MONITORING AND CONTROLLING A PLURALITY OF GENERATOR SETS</b>
	Express Mail Label No.	EL922961849US

<b>APPLICATION ELEMENTS</b>  <i>See MPEP chapter 600 concerning utility patent application contents</i>	<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, D.C. 20231
1. (X) Fee Transmittal Form (e.g., PTO/SB/17) <i>(Submit an original, and a duplicate for fee processing)</i> 2. ( ) Applicant claims small entity status <i>See 37 CFR 1.27</i> 3. (X) Specification [Total Pages <u>25</u> ] <i>(preferred arrangement set forth below, MPEP 1503.01)</i> - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claims - Abstract of the Disclosure 4. (x) Drawing(s) (35 U.S.C. 113) [Total Sheets <u>11</u> ] 5. (x) Oath or Declaration [Total Pages <u>2</u> ] a. ( ) Newly executed (original or copy) b. ( ) Copy from a prior application (37 CFR 1.63 (d)) <i>(for continuation/divisional with Box 16 completed)</i> i. ( ) <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63 (d)(2) and 1.33 (b). 6. ( ) Application Data Sheet. See 37 CFR 1.76 7. ( ) CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)	8. ( ) Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. ( ) Computer Readable Form (CRF) b. ( ) Specification Sequence Listing on: i. ( ) CD-ROM or CD-R (2 copies); or ii. ( ) paper c. ( ) Statement verifying identity of above copies <b>ACCOMPANYING APPLICATION PARTS</b> 9. ( ) Assignment Papers (cover sheet & document(s)) 10. ( ) 37 CFR 3.73(b) Statement ( ) Power of Attorney <i>(when there is an assignee)</i> 11. ( ) English Translation Document (if applicable) 12. ( ) Information Disclosure Statement (IDS)/PTO-1449 ( ) Copies of IDS Citations 13. ( ) Preliminary Amendment 14. (X) Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i> 15. ( ) Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i> 16. ( ) Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i) - Applicant must attached form PTO/SB/35 or its equivalent 17. ( ) Other:

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

( ) Continuation ( ) Divisional ( ) Continuation-in-part (CIP) of prior application No: \_\_\_\_\_/\_\_\_\_\_


Prior application information: Examiner \_\_\_\_\_ Group / Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORRESPONDENCE ADDRESS**

☒ Customer Number or Bar Code Label  (Insert Customer Number or Bar Code Label here) ☐ Correspondence address below

Name	Peter C. Stomma				
Address	250 E. Wisconsin Avenue Suite 1030				
City	Milwaukee	State	WI	Zip Code	53202
Country		Telephone	(414) 225-9755	Fax	(414) 225-9753

Name (Print/Type) Peter C. Stomma	Registration No. (Attorney/Agent) 36,020
Signature 	Date 6/15/01

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Design, Washington, DC 20231

**Certificate of Express Mailing**

I hereby certify that this correspondence is being deposited with the U.S. Post Office as Express Mail in an envelope addressed to Assistant Commissioner for Patents, Box \_\_\_\_\_, Washington, D.C. 20231 on 6/15/01. The Express Label No. is EL922961849US

*Christine Kuegel* 6-15-01  
 Name \_\_\_\_\_ Date \_\_\_\_\_

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)**782**

## Complete if Known

Application Number  
Filing Date  
First Named Inventor Robert D. Kern et al  
Examiner Name  
Group Art Unit  
Attorney Docket No. 297.006

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to

Deposit Account Number 50-1170  
Deposit Account Name Boyle Fredrickson Newholm Stein & Gratz S.C.

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
Applicant claims small entity status See 37 CFR 1.27

2. ☒ Payment Enclosed:  
☒ Check ☐ Credit Card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	710
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$)**710**

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from Below	Fee Paid
24	-20**= 4	18	72
3	-3**= 0	80	
Multiple Dependent			

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)**72**

\*\* or number previously paid, if greater, For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

Name (Print/Type) Peter C. Stomma  
Signature

Registration No (Attorney/Agent) 36,020

## Complete (if applicable)

Telephone (414)225-9755  
Date 6/15/01

WARNING: Information on this form may become public if included on this form. Provide credit card information

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary amount of time you are required to complete this form should be sent to the Chief Information Officer. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant

{00006426.DOC /}

Credit card information should not be included on this form. **Certificate of Express Mailing**

I hereby certify that this correspondence is being deposited with the U.S. Post Office as Express Mail in an envelope addressed to: Assistant Commissioner for Patents, Box Patent Appn, Washington, D.C. 20231 on 6/15/01. The Express Label No. is EL 922961849US.

Christine Mierzech 6-15-01  
Name Date

EXPRESS MAIL LABEL NO.: EL 922961849US

I hereby certify that this correspondence is being  
deposited with the United States Postal Service as  
EXPRESS MAIL in an envelope addressed to:  
ASSISTANT COMMISSIONER FOR PATENTS,  
BOX PATENT APPLICATION,  
WASHINGTON, D.C. 20231 on June 15, 2001.

Christine Kierzek

Printed Name

Christine Kierzek  
Signature

6/15/01  
Date

**SYSTEM CONTROLLER AND METHOD FOR MONITORING  
AND CONTROLLING A PLURALITY OF GENERATOR SETS**

By: Robert D. Kern  
Gerald C. Ruehlow  
Steven J. Wilcox  
Francis X. Wedel  
Graham McLean  
Phillip Harrison  
Hongping Zhou